

**IN THE UNITED STATES DISTRICT COURT
FOR THE NORTHERN DISTRICT OF ILLINOIS
EASTERN DIVISION**

SECURITIES AND EXCHANGE COMMISSION)	
)	
Plaintiff,)	
)	
v.)	
)	
VLADIMIR OKHOTNIKOV,)	
JANE DOE a/k/a LOLA FERRARI,)	
MIKAIL SERGEEV,)	
SERGEY MASLAKOV,)	Case No. 22 C 3978
SAMUEL D. ELLIS,)	
MARK F. HAMLIN,)	Judge Jorge L. Alonso
SARAH L. THEISSEN,)	
CARLOS L. MARTINEZ,)	
RONALD R. DEERING,)	
CHERI BETH BOWEN, and)	
ALISHA R. SHEPPERD,)	
)	
Defendants.)	
)	

**PLAINTIFF’S AGREED MOTION FOR ENTRY OF
PARTIAL JUDGMENT BY CONSENT AS TO DEFENDANT ALISHA R. SHEPPERD**

Plaintiff Securities and Exchange Commission respectfully moves the Court for entry of Partial Judgment by Consent as to Defendant Alisha R. Shepperd (“Shepperd”).

In support of this motion, the SEC shows the Court as follows:

1. The SEC filed its Complaint in this matter on August 1, 2022 (Dkt# 1) alleging, among other things, violations of the registration and antifraud provisions of the federal securities laws – specifically, Sections 5 and 17(a) of the Securities Act of 1933, 15 U.S.C. §§ 77e, 77q(a); and Section 10(b) and Rule 10b-5 of the Securities Exchange Act of 1934, 15 U.S.C. § 78j(b), 17 C.F.R. § 240.10b-5.

2. The SEC filed prior Agreed Motions on August 2, 2022 (Dkt# 5), August 10, 2022 (Dkt# 17), September 1, 2022 (Dkt# 29), and November 21, 2022 (Dkt# 62), seeking entry by consent of a final judgment as to Defendant Samuel D. Ellis (“Ellis”), and partial judgments by consent as to Defendants Sarah L. Theissen (“Theissen”), Mark F. Hamlin (“Hamlin”), Cheri Beth Bowen (“Bowen”), and Carlos L. Martinez (“Martinez”). By Minute Entries on August 4, 2022 (Dkt# 8), August 25, 2022 (Dkt# 24), and September 2, 2022 (Dkt# 31), the Court granted the prior Agreed Motions, and subsequently, on August 8, 2022, August 25, 2022, and September 2, 2022, the Court entered final judgment against Ellis (Dkt# 16), and partial judgments against Theissen (Dkt# 15), Hamlin (Dkt# 25), and Bowen (Dkt# 33).¹

3. As with Theissen, Hamlin, Bowen, and Martinez, Shepperd also has agreed to a partial settlement of the SEC’s claims. Attached as Exhibit 1 is her signed consent to the proposed partial judgment. This judgment obviates the need to litigate substantive liability on the part of Shepperd, and permanently enjoins her from violating the federal securities laws at issue in the Complaint as well as from engaging in certain other activity. The proposed judgment further provides that monetary relief sought by the SEC – in the form of disgorgement, prejudgment interest, and a civil penalty – shall be determined by the Court at a later date on the SEC’s motion.

4. District courts routinely have entered judgments based on this type of “bifurcated” settlement in SEC enforcement actions, and have adopted the procedures described in the attached consent for the monetary relief portion of the proceedings. *See, e.g., SEC v. Daubenspeck*, 469 F. Supp. 3d 859, 860 (N.D. Ill. 2020); *SEC v. Zenergy Int’l, Inc.*, No. 13-5511, 2016 U.S. Dist. LEXIS 127630, at *2-4 (N.D. Ill. Sept. 20, 2016); *SEC v. Integrity Fin. AZ, LLC*, No. 10-782, 2012 U.S. Dist. LEXIS 6758, at *3-4 (N.D. Ohio Jan. 20, 2012).

¹ The Court has not yet ruled on the pending Agreed Motion as to Martinez (Dkt# 62).

5. In the attached consent, Shepperd has agreed the SEC “may present the [proposed judgment] to the Court for signature and entry without further notice.” (*See* Ex. 1, at ¶ 15.) Under Fed. R. Civ. P. 54(b), there is no just reason to delay entry of the proposed judgment, and the SEC submits entry of the judgment will conserve judicial resources and streamline the issues in this litigation. In addition, there is little risk of a piecemeal appeal, as Shepperd has waived her right to appeal from the judgment. (*See* Ex. 1, at ¶ 7.)

6. This case will proceed in full as to the remaining Defendants – Vladimir Okhotnikov; Mikail Sergeev; and Ronald R. Deering – and is not affected by entry of the proposed judgment.²

7. Pursuant to the Court’s Individual Practices, the proposed judgment in Word format is being emailed separately to Chambers.

WHEREFORE, for the reasons cited above, the SEC respectfully requests the Court grant this motion and enter the proposed judgment.

DATED: November 22, 2022 Respectfully submitted,

SECURITIES AND EXCHANGE COMMISSION

By /s/ Patrick R. Costello
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² Defendants Jane Doe a/k/a Lola Ferrari and Sergey Maslakov are in default, and the Court will hear the SEC’s pending motion for default judgment (Dkt# 49) on November 29, 2022. *See* Dkt# 53.

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CERTIFICATE OF SERVICE

I certify that on November 22, 2022, I caused to be served the foregoing PLAINTIFF'S AGREED MOTION FOR ENTRY OF PARTIAL JUDGMENT BY CONSENT AS TO DEFENDANT ALISHA R. SHEPPERD on Defendants at the addresses and by the means set forth on the attached Service List.

/s/ Patrick R. Costello

Patrick R. Costello

Service List

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